

Memorandum

To: Special Trustee

Through: Principal Deputy Special Trustee

From: Director

Subject: Records Management during June 2001

SIGNIFICANT ACTIVITIES

Director Meets with BIA Senior Management

The Director met with the Deputy Commissioner—Indian Affairs and 11 Bureau of Indian Affairs (BIA) Regional Directors in Oklahoma City June 4. Among topics discussed were centralization of BIA records at the Lee's Summit Federal Records Center—supported unanimously, the future of IARM, training plans, filing equipment, and improved communication.

Intertribal Monitoring Association Mid-Year Meeting

The Intertribal Monitoring Association (ITMA) on Indian Trust Funds held a mid-year Tribal Leaders and Membership Meeting in Albuquerque on June 7-8, 2001. The meeting was attended by tribal leaders, tribal attorneys, the Cobell litigation Court Monitor, and various federal officials, including the Special Trustee, the Director and Deputy Director from the Office of Trust Funds Management (OTFM), and the Special Assistant, Office of Trust Records. The Special Trustee provided an update on the Office of the Special Trustee (OST) activities. The Special Assistant, OTR, discussed the May 30, 2001, Self-Governance meeting held by OTR, BIA, and the Self-Governance tribes, to discuss record keeping requirements including guidance language on record keeping for Annual Funding Agreements for compacted and contracted Tribes. Tribes continue to have questions on trust reform implications for tribal records, and it appears more dialogue is needed between the BIA, OST, and tribes. Chief Charles Tillman, ITMA Chairman, and Principal Chief of the Osage Nation of Oklahoma, chaired the meeting. Other ITMA agenda items included a briefing by Court Monitor Kieffer, a TAAMS evaluation report, trust policy revisions, litigation reports, statute of limitations on reconciliation, and an Indian Land Working Group update.

Advisory Committee on Records

Pat Gerard attended two-day Federal Advisory Committee Act (FACA) training, sponsored by the General Services Administration (GSA), on June 20-21, 2001, in Washington. The FACA training covered a wide range of topics including the creation, management, and operation of federal advisory committees. Ms. Gerard is assisting the Director in establishing the OTR Records Advisory Committee, as proposed in the High Level Implementation Plan (HLIP) — “a *high level committee of interested parties will be established to review, advise and make recommendations on Indian Affairs records.*” DOI Counselor to the Secretary, Michael Rossetti, and BIA Deputy Commissioner-Indian Affairs, Sharon Blackwell, have endorsed the creation of

the committee. The OTR Director will serve as the Designated Federal Officer. By late August a charter will be drafted and prospective organizations and members identified according to standard Department procedures.

Trust Records Control Schedules

IARM staff visited the following locations to inventory records for use in schedule development:

- Office of Trust Funds Management (OST)
- Office of Trust Risk Management (OST)
- Branch of Natural Resources (BIA Central Office)

OTR received comments from 37 BIA locations on the Realty, Forestry, Transportation and Roads, and Land Titles and Records Office draft schedules. OTR is reviewing and incorporating the comments, where appropriate.

The OTR Division of Electronic Records is developing schedules for BIA electronic records. Division staff met with Paul Marsden of the Indian Affairs Chief Information Officer's staff. Mr. Marsden is working with BIA system owners to collect electronic systems inventory information, the starting point for the records scheduling project. Division staff has been invited by Mr. Marsden to attend some of the system interviews in August.

Evaluations of Records Programs

During June IARM completed a records program evaluation at the following BIA locations:

- Concho Agency — report attached
- Shiprock Agency — report pending
- Branch of Natural Resources (Central Office) — report pending

Reports for the May Turtle Mountain, Fort Totten, and Navajo Regional Office evaluations are also attached.

Strategic Study Completed

An independent appraisal of the records management efforts delineated in the HLIP has been completed. The intent of the study was to get a midterm assessment of the strengths and/or weaknesses of the current effort, highlight areas where additional actions should be considered, and identify other strategies that would bolster the ultimate goal of providing a quality records program for the Trust, both now and in the long term. This study was divided into two parts, 1) compliance to the HLIP mission for good records management operation, and 2) a revisit to the imaging project, for an evaluation of the efforts to-date and a recommendation on what approach to take to bring the imaging concept to fruition. The report was delivered in early June.

Tribal Training

At the request of the President, Central Council of Tlingit and Haida Indian Tribes of Alaska, OTR presented a one-day introductory records management training seminar to approximately 20 Council employees on June 7.

OTHER WORK (see also attached internal-use chart)

Disposition Backlog at BIA Locations

An environmental assessment and decontamination protocol proposal was received and reviewed by OTR. Iron Mountain, OTR's partner in records cleanup efforts, has subcontracted with an international disaster recovery company to perform assessments and decontamination

processes at BIA locations where records are found to be stored in unhealthy—for both humans and records—conditions.

IARM worked with BIA locations to transfer records to Federal Records Center or National Archives:

- Midwest Region — 6 boxes
- Miami Field Office — 40 boxes
- Osage Agency — 11 boxes
- Western Region — 39 boxes
- Colorado River Agency — 8 boxes
- San Carlos Agency — 31 boxes
- Fort Yuma Agency — 3 boxes
- Pacific Region — 1 box
- Central California Agency — 10 boxes
- Palm Springs Field Office — 46 boxes
- Southern California Agency — 16 boxes
- Navajo Region — 59 boxes
- Western Nevada Agency — 1 box
- Chinle Agency — 15 boxes
- Fort Defiance Agency — 41 boxes
- Northwest Region — 425 boxes

IARM conducted “fast packs” at the following locations

- Western Nevada Agency
- Jicarilla Agency
- Anadarko Agency
- Chinle Boarding School

Analyze Records Storage Requirements

IARM completed assessments of current records storage requirements, inactive records disposition backlogs, and records transfer to appropriate storage facilities at the following BIA locations:

- Concho Agency
- Shiprock Agency
- Branch of Natural Resources (Central Office)

In addition, IARM received Turtle Mountain’s proposal for their inclusion as a pilot site for the HLIP project to preserve historical records and requested that the agency provide more detailed information on volume, condition, and types of records, and the frequency of their use.

ELECTRONIC RECORDS

Plan to Comply with Electronic Records Requirement

Millican & Associates has begun working on a Department-level project to evaluate electronic records management compliance in all bureaus. At OTR suggestion Millican agreed to begin with the Bureau of Indian Affairs. OTR met with Indian Affairs CIO staff member Paul Marsden and Millican representatives in Albuquerque to discuss plans for the development of the BIA Electronic Records Management Gap Analysis and Road Map.

OTR continued its review of the draft OST Electronic Records Policy prepared by Millican. Ultimately, OTR decided the appropriate course of action was to ask Millican to redraft in less technical terms in order to meet the needs of our anticipated target audience.

Electronic Records Pilot Project

Millican & Associates presented a proposal to OTR for Electronic Document Management Assistance. As described in the proposed project, Millican would provide assistance with the implementation of an electronic document management system for OTFM, OTRM, and OTR. They propose to:

- Identify and evaluate applicable uses for an electronic document management system (EDMS);
- Perform a cost-benefit analysis of the identified uses to prioritized opportunities;
- Prepare an implementation strategy; and
- Identify EDMS requirements and prerequisites.

OTR and Millican briefed Office of Trust Funds Management (OTFM) management on the proposal June 20, and received indication of OTFM cooperation.

Establish Life Cycle Database (Inventory) for Trust Records

The target date for the implementation of the consolidated inventory using the Versatile Enterprise system is August 20. Several significant tasks must be accomplished to meet that date. They are the conversion of the inventory of "OTFM Boxes", the updating of Osage information with more detailed data from "Osage Detailed Inventory", and the merging of the DataCom document information into the main DataCom database. Very good progress is being made. Once these conversions are complete, OTR will merge all converted inventories into a single database to be migrated into Versatile.

Versatile training has been scheduled for two groups. Training will be held in Albuquerque with trainers provided by Zasio (Versatile developer). During the week of July 23 members of the Records Management and Electronic Records staff will attend training on using Versatile for records scheduling. During the week of August 13 staff responsible for entering inventories into Versatile will be trained.

OST Internet Web Site

The home page of the OST WEB site has been redesigned to streamline the look. Text for some of the other pages has been updated. Additional links for employment sites have been added and a project to evaluate links to other records management sites has begun. Regular updates such as Vacancy Announcements, Quarterly Report, new pamphlet and a new Whereabouts Unknown file have all been converted and posted.

TRAINING

IARM presented records management awareness briefings to employees at the following BIA locations:

- Concho Agency — 9 employees
- Shiprock Agency — 9 employees

In addition, OTR presented records management awareness briefings in a workshop environment to 34 BIA and tribal employees at the Office of Indian Education Program Principals' Academy Seminar.

IARM and NARA presented two-day basic records operations training to BIA, tribal, and contractor employees at sessions held in Albuquerque and Portland:

- Albuquerque — 35 attendees
- Portland — 41 attendees

Division of Electronic Records Staff attended the following training

Versatile User Conference – Martin Abeyta
Federal Records Management – Linda Skotta
SQL Database Developer – Lorry Gelet

CONTRACTOR ACTIVITY

Iron Mountain

IARM conducted bi-weekly quality assurance on work performed by Iron Mountain. Quality assurance procedures and a problem identification and resolution process developed by IARM staff have been drafted and are being reviewed.

Iron Mountain continued preparing records for transfer to the Federal Records Center. Records from the following BIA locations were worked on at the Albuquerque facility:

- Ft. Belknap Agency
- Fort Berthold Agency
- Wind River Agency
- Division of Accounting Management

Iron Mountain, Albuquerque, also entered inventory information for approximately 8000 data tape cartridges that contain IIM backup data and moved the tapes to the Iron Mountain data storage facility. To complete the NARA required inventory each tape will need to be read. Arrangements are being made to use the OIRM tape drive in Albuquerque to do that work.

At the Iron Mountain Portland Facility, approximately 700 boxes of records were organized, re-boxed, and labeled.

Millican and Associates

See above.

Native American Industrial Distributors

Provided on going assistance with project management.

STAFFING

Management Analyst positions (research, develop, and implement records management policies, retention schedules; training curricula and aids, etc.)

- ✓ All positions filled

Records Management Specialist positions (implement records management program, BIA disposition backlog, records cleanup, etc.)

- ✓ Certificate of eligible applicants received and undergoing review

Archives Technicians positions (search for re-filed or interfiled records; receive, move, inventory, and shelf records)

- ✓ Recruitment action underway for one vacant position

Computer Specialist positions (analyze, develop, and implement information technology solutions; manage projects to implement electronic records programs for BIA and OST)

- ✓ One vacant 9/11/12 position to be advertised
- ✓ One supervisory position to be classified and advertised